

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : Stuart A. Fraser et al.  
Application No. : 09/553,423 Confirmation No. : 3987  
Filed : April 19, 2000  
For : SYSTEMS AND METHODS FOR TRADING  
Group Art Unit : 3692  
Examiner : DASS, Harish T

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

**Supplemental Information Disclosure Statement Filed on January 8, 2008**

Applicants wish to bring to the Examiner's attention that the Supplemental Information Disclosure Statement filed on January 8, 2008 (i.e., listing Document Numbers 09/553,423, 10/829,119, etc.) was mistakenly filed with the wrong caption (i.e., an incorrect application number, etc.). Because the Statement is of record and has been initialed by the Examiner, Applicants do not believe a correction is required. Nonetheless, the Examiner is requested to telephone Applicants' undersigned representative at the number noted below if the Examiner believes a correction is required.

**Information Disclosure Statement Filed on November 8, 2001**

On November 8, 2001, Applicants filed an Information Disclosure Statement listing several U.S. Patents and several Foreign Patent Applications (including copies thereof). Applicants note that the record does not appear to include a copy of the listing of references initialed by the Examiner.

On March 11, 2008, Applicants' representative, Glen R. Farbanish, and the Examiner discussed this matter. The Examiner indicated that a PTO Form-1449 was not filed with the Statement, which resulted in the listing of references not being initialed by the Examiner, and further indicated that the references should be resubmitted.

Accordingly, Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose. Copies of the Foreign Patent Applications are not being submitted herewith since these references were filed on November 8, 2001 and are of record.

The filing of this Information Disclosure Statement shall not be construed as (i) a representation that a thorough search has been made; (ii) an admission that the information cited is, or is considered to be material to patentability; (iii) an admission that no other material information exists; or (iv) an admission that Applicants agree with any statement(s) in the information cited. Nor shall the filing of this Information Disclosure Statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on the accompanying PTO Form-1449 may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application.

The Examiner is respectfully requested to fully consider the items listed on the enclosed PTO Form-1449, to independently ascertain their teaching, and to initial beside each reference listed. Please return a copy of the initialed citation form to Applicants' undersigned representative.

### **Fees**

No fee is believed to be due for this Information Disclosure Statement because the references were originally filed in compliance with 37 C.F.R. § 1.97(b)(3) before the mailing of a first Office Action on the merits. Nonetheless, in the event that a fee is determined to be due, the Commissioner for Patents is hereby authorized to charge such fee to Deposit Account No. 50-3938.

Respectfully submitted,

March 12, 2008  
Date

/Glen R. Farbanish/  
Glen R. Farbanish  
PTO Registration No. 50,561  
(212) 294-7733/phone  
gfarbanish@cantor.com